



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Ting K. Yee, Peter H. Chang, Shin-Sheng Tarn, Gregory M. Cutler, Slava Yazhgur, Ji Li, Laurence J. Newell, James F. Coward, Michael W. Rowan, Norman L. Swenson, Matthew Bashaw

APPLICATION NO.: 09/918,886

FILING DATE: July 30, 2001

TITLE: Optical communications using multiplexed single sideband transmission and heterodyne detection

EXAMINER: Jason Chan

GROUP ART UNIT: 2633

ATTY. DKT. NO.: 20852-05682

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Dated: May 12, 2003

By:

*Michael W. Farn*  
Michael W. Farn, Reg. No. 41,015

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:


- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR §1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
  - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
  - or

- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No.[APPLICATION NUMBER], filed on [FILING DATE], and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
TING K. YEE et al.

Dated: May 12, 2003

By:   
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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application No.	09/918,886
Filing Date	July 30, 2001
First Named Inventor	Ting K. Yee
Art Unit	2633
Examiner Name	Jason Chan
Attorney Docket Number	20852-05682

Sheet

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of

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**RECEIVED****MAY 16 2003****U.S. PATENT DOCUMENTS****Technology Center 2600**

Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number - Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	1	US-3,752,992 A	08-14-1973	Fluhr
	2	US-5,724,169 A	03-03-1998	LaGasse
	3	US-6,134,033 A	10-17-2000	Bergano et al.

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
	4	GB2179517 A	03-04-1987	STC PLC	
	5	EP0328156 A1	08-16-1989	British Telecommunications	
	6	EP0507508 A2	10-07-1992	American Telephone & Telegraph Company	

**OTHER REFERENCES - NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>
	7	Campos, L.A. et al., "16-Gbit/s time- and polarization-division-multiplexed system using a novel compensation technique," <i>Optical Fiber Communication Conference Technical Digest Series</i> (Washington, DC 1994), Vol. 4, pages 14-15.	
	8	Hill, P.M. et al., "Optical Polarization Division Multiplexing at 4 Gb/s," <i>IEEE Photonics Technology Letters</i> (May 1992), Vol. 4, No. 5, pages 500-502..	
	9	Kawanishi, S. et al., "100 Gbit/s all-optical demultiplexing using four-wave mixing in a travelling wave laser diode amplifier," <i>Electronics Letters</i> (June 9, 1994), Vol. 30, No. 12, pages 981-982.	

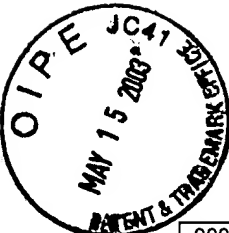
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

20852/05682/DOCS/1346519.1



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PTO/SB/21 (modified)  
Approved for use through xx/xx/xx, OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence during pendency of filed application)</i>	0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/918,886
			Filing Date	July 30, 2001
			First Named Inventor	Ting K. Yee
			Group Art Unit Number	2633
			Examiner Name	Jason Chan
Total Number of Pages in This Submission		5 *	Attorney Docket Number	20852-05682

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REMARKS: * Does not include pages in references.	

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Michael W. Farn, Reg. No. 41,015	Dated:	May 12, 2003

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